

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 1125.170 U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/552894
INTERNATIONAL APPLICATION NO. PCT/US04/18539	INTERNATIONAL FILING DATE 6/10/2004	PRIORITY DATE CLAIMED 6/11/2003
TITLE OF INVENTION Method and Apparatus for Controlling Transition Between Operating Modes in a Multimode Engine		
APPLICANT(S) FOR DO/EO/US Hoi Ching Wong		
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). <p>Items 11 to 20 below concern document(s) or information included:</p> <ol style="list-style-type: none"> 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 		

This collection of information is required by 37 CFR 1.414 and 1.491–1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.
SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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U.S. APPLICATION NO. 10/552894 (37 CFR 1.53)	INTERNATIONAL APPLICATION NO. PCT/US04/18539	ATTORNEY'S DOCKET NUMBER 1125.170
20. Other items or information:		
The following fees have been submitted		CALCULATIONS PTO USE ONLY
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a)) \$300		\$ 300
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of the PCT Article 33(1)-(4) \$0 All other situations \$200		\$ 200
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of the PCT Article 33(1)-(4) \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$400 All other situations \$500		\$ 400
TOTAL OF 21, 22 and 23 =		\$ 900
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing IN COMPLIANCE WITH 37 cfr 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.		
Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)
4	-100 = 0	/50 = 0
		x \$250
		\$ 0
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of the commencement of the national stage (37 CFR 1.492(h)).		\$ 0
CLAIMS	NUMBER FILED	NUMBER EXTRA
Total claims	32 - 20 =	12
Independent claims	3 - 3 =	0
MULTIPLE DEPENDENT CLAIM(S) (if applicable)		+
		\$360
TOTAL OF ABOVE CALCULATIONS =		\$1,500
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		\$750
SUBTOTAL =		\$ 750
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		\$ 0
TOTAL NATIONAL FEE =		\$ 750
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		\$ 0
TOTAL FEES ENCLOSED =		\$ 750
		Amount to be refunded:
		\$
		Amount to be charged:
		\$

JC20 Rec'd PCT/PTO 12 OCT 2009

PTO-1390 (Rev. 07-2005)
Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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- a. ☒ A check in the amount of \$ 750 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 50-1170 in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1170. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Timothy E. Newholm
Boyle Fredrickson Newholm Stein & Gratz S.C.
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Milwaukee, WI 53202


SIGNATURE:

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INTELLECTUAL PROPERTY LAW

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October 12, 2005

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Re: Utility Patent Application Transmittal
U.S. Patent Application Ser. No. (not assigned)
National Phase of PCT/US2004/018539
Inventor: Wong
Title: *Method and Apparatus for Controlling Transition Between Operating Modes in a Multimode Engine*
Assignee: Clean Air Power, Inc.
Customer Account No.: 23598
Our Ref: 1125.178

Dear Sir:

Enclosed in connection with the above-identified national phase patent application are:

- a Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Submission Under 35 U.S.C. 371;
- our check in the amount of \$790.00 reduced by ½ as a **small** entity in payment of the basic national filing fee, search fee, and examination fee (\$450), and including 12 additional claims in excess of 20 (\$300); and assignment recordation fee (\$40);
- a Preliminary Amendment eliminating multiple dependencies and otherwise placing the claims into conformance with preferred USPTO practice. Please enter the Preliminary Amendment before determining the filing fees; and
- an Information Disclosure Statement (IDS), Form PTO-1449, and a copy of the cited documents.

- an executed Declaration;
- an executed Assignment to Clean Air Power, Inc.; and
- a recordation cover sheet.

Applicant(s):

<u>Name</u>	<u>Residence</u>
Hoi Ching Wong	San Diego, California

Assignment for Published Application:

Clean Air Power, Inc.

Power of Attorney:

Those attorneys associated with Customer Account No. **23598**.

Small Entity Statement:

Applicant is a small entity within the meaning of 37 CFR §§ 1.9 and 1.27 and hereby claims small entity status.

Domestic Priority data as claimed by applicant:

This application is a 371 of **PCT/US2004/018539**; filed **10 June 2004**
(10.6.2004).

Foreign Application(s):

Great Britain 0313466.5; filed **11 June 2003** (11.06.2003).

Non-Publication Request:

Not applicable.

Commissioner for Patents

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Deposit Account Authorization

The Director is hereby authorized to charge payment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 50-1170.

Respectfully submitted,



Timothy E. Newholm
Registration No. 34,400

Enclosures

Certification Under 37 CFR 1.10

Express Mail Label No: **EV506061050US**

Date of Deposit: **October 12, 2005**

I hereby certify that this paper or fee is being deposited with the United States Postal Service in "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Jodi A. Calderon